

FORM PTO-1390
(Rev 10-9-94)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Docket No. 299002052200TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. § 371

09/786977

U.S. APPLICATION NO. (If known, see 37 C.F.R. § 1.5): To Be Assigned

INTERNATIONAL APPLICATION NO.
PCT/JP99/01952INTERNATIONAL FILING DATE
April 12, 1999PRIORITY DATE CLAIMED
September 11, 1998TITLE OF INVENTION: **METHOD FOR FORMING COMPOUND SEMICONDUCTOR LAYER AND COMPOUND SEMICONDUCTOR APPARATUS**

APPLICANT(S) FOR DO/EO/US: Koji TAKAHASHI and Hidenori KAWANISHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. § 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. § 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. § 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. § 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. § 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. § 371(c)(2)) (67 pages).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. § 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. § 371(c)(3)) (14 pages).
9. ☒ An unexecuted oath or declaration of the inventors (35 U.S.C. § 371(c)(4)) (2 pages).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. § 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. §§ 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§ 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment (2 pages).
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Form PCT/IPEA/401 (10 pages) and Return Receipt Postcard.

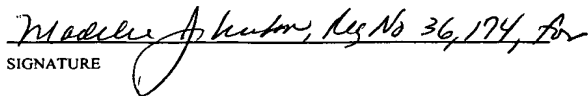
CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL569251846US

Date of Deposit: March 12, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Jennifer Bushard

U.S. APPLICATION NO. (If known, see 37 C.F.R. § 1.5) To Be Assigned 09/786977		INTERNATIONAL APPLICATION NO. PCT/JP99/01952		DOCKET NUMBER: 299002052200	
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. §§ 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provision of PCT Article 33(1)-(4)\$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00				CALCULATIONS PTO USE ONLY	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. § 1.492(e)).				\$130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	31 - 20 =	11	x \$18.00	\$198.00	
Independent claims	4 - 3 =	1	x \$80.00	\$80.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			\$0.00	\$0	
TOTAL OF ABOVE CALCULATIONS =				\$1268.00	
Reduction by ½ for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 C.F.R. §§ 1.9, 1.27, 1.28)				\$0	
SUBTOTAL =				\$1268.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. § 1.492(f)).				+	\$0
TOTAL NATIONAL FEE =				\$1268.00	
Fee for recording the enclosed assignment (37 C.F.R. § 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. §§ 3.28, 3.31). \$40.00 per property				+	\$0
TOTAL FEES ENCLOSED =				\$0	
				Amount to be refunded:	\$
				charged:	\$1,268.00
a. <input type="checkbox"/> A check in the amount of \$0.00 to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 03-1952 referencing docket no. 299002052200 in the amount of \$1,268.00 to cover the above fees. A duplicate copy is being submitted for fee processing. c. <input checked="" type="checkbox"/> The Assistant Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Account No. 03-1952 .					
NOTE: Where an appropriate time limit under 37 C.F.R. § 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. § 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Thomas E. Ciotti Morrison & Foerster LLP 755 Page Mill Road Palo Alto, California 94304-1018			 SIGNATURE Thomas E. Ciotti Registration No. 21,013		